



## Standardized Asset Transfer Request Form for Defined Contribution Provisions

This form and supporting documents must be submitted only if the transfer includes individuals whose benefits are subject to provincial pension legislation with the exception of the following:

- individuals whose benefits fall under the jurisdiction of Newfoundland and Labrador or Prince Edward Island
- individuals whose benefits fall under the jurisdiction of Quebec transferring from a plan for which OSFI is not authorized to administer Quebec pension legislation<sup>1</sup>

All other transferring members, former members, and other persons entitled to benefits under the plan whose benefits are subject to provincial pension legislation (“applicable transferring individuals”) must be reported on this form.

Please refer to the [Guidance Note on Asset Transfers Related to Defined Contribution Provisions of Pension Plan](#) (Guidance Note) when completing this form.

<b>Transferring plan</b>	<b>Receiving plan</b>
<b>Name:</b> _____	<b>Name:</b> _____
<b>OSFI Registration Number:</b> _____	<b>Jurisdiction(s) of Registration (OSFI and/or Provincial):</b> _____
<b>Provincial Registration Number if also registered in Quebec or Newfoundland and Labrador:</b> QC: _____ NL: _____	<b>OSFI and/or Provincial Registration Number(s):</b> _____ _____
<b>CRA Registration Number:</b> _____	<b>CRA Registration Number:</b> _____

- 1) **Reason for the asset transfer<sup>2</sup>:**  
\_\_\_\_\_  
\_\_\_\_\_
- 2) **Effective date of transfer<sup>3</sup>:**  
Day \_\_\_\_ Month \_\_\_\_ Year \_\_\_\_
- 3) **Total transfer amount as at the effective date of transfer for applicable transferring individuals : \$** \_\_\_\_\_.
- 4) **Full transfer**  **Partial transfer**
- 5) **If all assets are transferred, a description of how any unallocated funds will be distributed:**  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- 6) **Total number of applicable transferring individuals:** \_\_\_\_\_

<sup>1</sup> The Office of the Superintendent of Financial Institutions (OSFI) is only authorized to administer Quebec pension legislation for a plan where the plurality of members are employed in included employment in the territories and no members are employed in included employment outside of the territories.

<sup>2</sup> Specify affected employee group or participating employer, if applicable.

<sup>3</sup> The date as specified in the plan documentation such as an amendment or resolution.



**7) Numbers of applicable transferring individuals by category and province:**

Members<sup>4</sup>

BC: \_\_\_\_\_ AB: \_\_\_\_\_ SK: \_\_\_\_\_ MB: \_\_\_\_\_ ON: \_\_\_\_\_

QC: \_\_\_\_\_<sup>5</sup> NB: \_\_\_\_\_ NS: \_\_\_\_\_

Former members entitled to a deferred pension benefit

BC: \_\_\_\_\_ AB: \_\_\_\_\_ SK: \_\_\_\_\_ MB: \_\_\_\_\_ ON: \_\_\_\_\_

QC<sup>5</sup>: \_\_\_\_\_ NB: \_\_\_\_\_ NS: \_\_\_\_\_

Retirees<sup>6</sup> and any other persons entitled to benefits under the plan

BC: \_\_\_\_\_ AB: \_\_\_\_\_ SK: \_\_\_\_\_ MB: \_\_\_\_\_ ON: \_\_\_\_\_

QC<sup>5</sup>: \_\_\_\_\_ NB: \_\_\_\_\_ NS: \_\_\_\_\_

**8) Please confirm that all contributions and investment income due to the effective date of transfer have been remitted to the accounts of applicable transferring individuals:**

Yes

**9) Please confirm that the transfer complies with applicable provincial pension legislation and regulations:**

Yes

**10) Please confirm that all additional information or documents required to be filed under applicable provincial pension legislation and regulations are attached:**

Yes

**Comments**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

This form has been prepared by<sup>7</sup>:

\_\_\_\_\_  
Please print

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title or Position and Company

\_\_\_\_\_  
Date

\_\_\_\_\_  
Telephone

\_\_\_\_\_  
E-mail

<sup>4</sup> Regardless of applicable provincial definitions, please report members based on the definition under the *Pension Benefits Standards Act, 1985* (PBSA). The PBSA defines a member, in relation to a pension plan, as “a person who has become a member of the pension plan and has neither ceased membership in the plan nor retired.” This definition notably excludes retirees receiving a pension and individuals entitled to a deferred pension under the plan.

<sup>5</sup> Report individuals whose benefits are subject to Quebec pension legislation if OSFI is authorized to administer Quebec pension legislation for the transferring plan, in which case the plan will not also be registered in Quebec (see footnote 1 and the Guidance Note).

<sup>6</sup> E.g. a former member in receipt of a variable benefit from the plan.

<sup>7</sup> The form should be prepared by the plan administrator or by an actuary, accountant or other professional advisor.

